

DOCKET NO.: ISIS-2960



Receipt

PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

LEX M. COWSERT et al.

Serial No.: 09/067,638

Group Art Unit: 1623

Filing Date: APRIL 28, 1998

Examiner: N/A

For: IDENTIFICATION OF GENETIC TARGETS FOR MODULATION BY OLIGONUCLEOTIDES AND GENERATION OF OLIGONUCLEOTIDES FOR GENE MODULATION

DATE OF DEPOSIT: 22 October, 1998

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO APPLICATION PROCESSING DIVISION'S CUSTOMER CORRECTION BRANCH, ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231.

  
TYPED NAME: Paul K. Legaard  
REGISTRATION NO.: 38,534

Application Processing Division's  
Customer Correction Branch  
Assistant Commissioner for Patents  
Washington DC 20231

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the Official Filing Receipt received from the PTO in the above application for which issuance of a Corrected Filing Receipt is respectfully requested.
2. There is an error with respect to the following data which is:

- incorrectly entered; and/or
- omitted.

<i>Error in</i>	<i>Correct data</i>
1. Applicant's name	1.
2. Applicant's address	2. SUSAN M. FREIER, SAN DIEGO, CA
3. Title	3.
4. Filing Date	4.
5. Serial Number	5.
6. Foreign/PCT Application Re:	6.
7. Other: Continuing Data and Small Entity Status	7. PROVISIONAL APPLICATION SERIAL NUMBER 60/081,483 <b>FILED APRIL 13, 1998;</b> Small Entity Statement (copy attached) filed in timely manner on June 29, 1998. Please credit Deposit Account 23-3050 in the amount of \$2,826.00 and change the Official Filing Receipt to reflect Small Entity status.

3. (complete the following applicable item A or B)

A.  The correction(s) is/are not due to any error by applicant and no fee is due.

**OR**

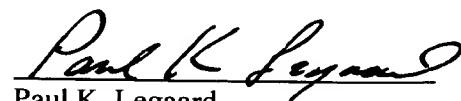
B.  At least one of the above corrections is due to applicant's error and the fee therefore under 37 CFR 1.19(h) of \$25.00 is paid as follows:

A check in the amount of \$25.00 is attached to cover the surcharge. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

Please charge the surcharge to my Deposit Account No. 23-3050 in the amount of \$25.00.

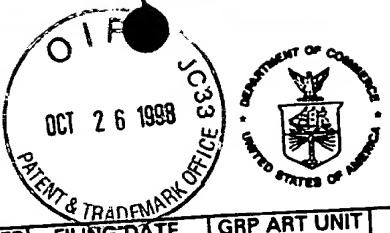
Date: 22 October 1998

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One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439



Paul K. Legaard  
Registration No. 38,534

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/067,638	04/28/98	1623	\$5,652.00	ISIS-2960	24	102	37

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& NORRIS  
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PHILADELPHIA PA 19103

Woodcock Washburn Kurtz  
Mackiewicz & Norris LLP

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

## Applicant(s)

LEX M. COWSERT, CARLSBAD, CA; BRENDA F. BAKER, CARLSBAD, CA; JOHN MCNEIL, LA JOLLA, CA; SUSAN M. FREIER, DIEGO, CA; HENRI M. SASMOR, ENCINITAS, CA.

FOREIGN FILING LICENSE GRANTED 09/09/98

TITLE  
IDENTIFICATION OF GENETIC TARGETS FOR MODULATION BY OLIGONUCLEOTIDES  
AND GENERATION OF OLIGONUCLEOTIDES FOR GENE MODULATION

PRELIMINARY CLASS: 536

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PATENT

DOCKET NO.: ISIS-2960

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re patent application of:

Lex M. Cowser, Brenda F. Baker, John McNeil, Susan M. Freier,  
Henri M. Sasmor, Douglas G. Brooks, Cara Ohashi, Jacqueline R.  
Wyatt, Alexander H. Borchers

Serial No.: 09/067,638

Group No.: Not Yet Assigned

Filed: April 28, 1998

Examiner: Not yet Assigned

For: IDENTIFICATION OF GENETIC TARGETS FOR MODULATION  
BY OLIGONUCLEOTIDES AND GENERATION OF OLIGONUCLEOTIDES  
FOR GENE MODULATION

I, Mark DeLuca, Registration No. 33,229 certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

On June 29, 1998

M-L DR

Mark DeLuca Reg. No. 33,229

Assistant Commissioner for Patents  
Washington DC 20231

SUBMISSION OF VERIFIED STATEMENT(S)  
TO ESTABLISH SMALL ENTITY STATUS

The attached statement is being submitted to establish  
Small Entity Status in this

application

patent

(check all applicable boxes below)

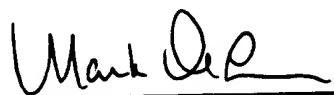
Independent inventor(s) - 37 CFR 1.9(c) and  
1.27(b)

Non-inventor supporting claim by another - 37 CF  
1.9(c) and 1.27(b)

- xx Small Business Concern - 37 CFR 1.9(d) and 1.27(c)  
— Non-Profit Organization - 37 CFR 1.9(e) and  
1.27(d)

Respectfully submitted,

Date: June 29, 1998

  
Mark DeLuca  
Registration No. 33,229

WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS LLP  
One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
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Applicant or Patentee: Lex M. Cowsert, Brenda F. Baker, John McNeil, Susan M. Freier, Henri M. Sasmor, Douglas G. Brooks, Cara Ohashi, Jacqueline R. Wyatt, Alexander H. Borchers

OCT 26 1998  
PATENT & TRADEMARK OFFICE U.S.

Serial No.: 09/067,638

Attorney's Docket No.: ISIS-2960

Date Filed: April 28, 1998

**For: IDENTIFICATION OF GENETIC TARGETS FOR MODULATION  
BY OLIGONUCLEOTIDES AND GENERATION OF OLIGONUCLEOTIDES FOR GENE  
MODULATION**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(d) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

- the owner of the small business concern identified below;
- an official empowered to act on behalf of the concern identified below:

**NAME OF CONCERN:**

**ISIS PHARMACEUTICALS, INC.**

**ADDRESS OF CONCERN:**

**2292 FARADAY Avenue**

**Carlsbad, CA 92008**

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that: (1) the number of employees of the concern, including those of its affiliates, does not exceed 500 persons; and (2) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section.

For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled **IDENTIFICATION OF GENETIC TARGETS FOR MODULATION BY OLIGONUCLEOTIDES AND GENERATION OF OLIGONUCLEOTIDES FOR GENE MODULATION** by inventor(s) **Lex M. Cowsert, Brenda F. Baker, John McNeil, Susan M. Freier, Henri M. Sasmor, Douglas G. Brooks, Cara Ohashi, Jacqueline R. Wyatt and Alexander H. Borchers** described in

specification filed herewith.

application serial no. 09/067,638, filed April 28, 1998.

patent no. \_\_\_, issued \_\_\_.



If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

**FULL NAME:**

**ADDRESS:**

INDIVIDUAL  SMALL BUSINESS CONCERN  NONPROFIT ORGANIZATION

**FULL NAME:**

**ADDRESS:**

INDIVIDUAL  SMALL BUSINESS CONCERN  NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

**NAME OF PERSON SIGNING:**

**TITLE OF PERSON SIGNING:**

**ADDRESS OF PERSON SIGNING:**

Stanley T. Crooke  
Chief Executive Officer  
2292 Faraday Avenue  
Carlsbad, California 92008

SIGNATURE

6/24/98

**DATE**